

COMMONWEALTH OF KENTUCKY

**EXECUTIVE AGENCY LOBBYING
HANDBOOK**

JANUARY 2007

Printed with state funds

Executive Branch Ethics Commission

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COMMONWEALTH OF KENTUCKY

**EXECUTIVE AGENCY LOBBYING
HANDBOOK**

JANUARY 2007

EXECUTIVE AGENCY LOBBYING TABLE OF CONTENTS

	Page
GENERAL INFORMATION	1
INITIAL REGISTRATION STATEMENT	7
Instructions	9
Form	11
UPDATED REGISTRATION STATEMENT	15
Executive Agency Lobbyist	
Instructions	19
Form	23
Employer of Executive Agency Lobbyist	
Instructions	27
Form	31
Real Party In Interest	
Instructions	35
Form	39
Executive Agency Lobbyist/Employer “ COMBINED ”	
Instructions	43
Form	45
REVIEW OF STATEMENTS AND DISPUTED INFORMATION	47
TERMINATION OF ENGAGEMENT	49
Form	51
SERVICES OFFERED	53
APPENDIX A:	
<u>Kentucky Revised Statutes</u> (KRS) 11A.201 through 11A.246.....	57
<u>Kentucky Revised Statutes</u> (KRS) 11A.990(5) through (8).....	68
APPENDIX B: (May be photocopied)	
Initial Registration Statement	73
Updated Registration Statement	77
Executive Agency Lobbyist	77
Employer of Executive Agency Lobbyist	81
Real Party in Interest	85
Executive Agency Lobbyist/Employer “ COMBINED ”	89
Termination of Engagement as Executive Agency Lobbyist	91

GENERAL INFORMATION

The following is an informational guide to the portions of Chapter 11A of Kentucky Revised Statutes (KRS) that apply to Executive Agency Lobbying. Please review KRS Chapter 11A and Chapter 9 of the Kentucky Administrative Regulations for further information. Questions may be addressed to the Executive Branch Ethics Commission ("the Commission").

In the broadest sense of the term, "to lobby" is to attempt to influence a lawmaker or executive agency decision maker. A constituent's voluntary opinion regarding an issue under consideration by his or her elected representative or government official can be considered "lobbying." However, such ordinary activities of citizens who exercise their constitutional right to petition the government or individual members of the government on any matter are separate and distinct from "professional" lobbying, so long as such activities are exclusively the exercise of individual liberty.

A professional lobbyist, also known as a legislative agent or executive agency lobbyist, is a person who receives compensation for his or her efforts to influence legislators or executive agency decision-makers on behalf of a client or employer. This is a guide for the "professional lobbyist."

The lobbying laws in the Commonwealth of Kentucky only apply to attempts to influence on the state level; the **law does not apply to activities involving attempts to influence the decisions of county or municipal officials.**

Types of Lobbying

There are two types of lobbying in the Commonwealth of Kentucky: Legislative Lobbying and Executive Agency Lobbying. If you are attempting to promote, advocate, or oppose the passage, modification, defeat, or executive approval or veto of any bill, resolution, amendment, nomination, and any other matter pending before the General Assembly, executive approval or veto of any bill acted upon by the General Assembly, then you are conducting Legislative Lobbying and you must register as a legislative agent. If you are attempting to promote, oppose, or otherwise influence the outcome of an executive agency decision involving the expenditure of state funds, then you are conducting Executive Agency Lobbying and you must register as an executive agency lobbyist. The distinction between the two types of lobbying is based upon subject matter - legislation or executive agency decisions. Therefore, when deciding whether to register as a legislative agent or an executive agency lobbyist you should determine what you will be attempting to influence.

This handbook is a guide to Executive Agency Lobbying which is administered by the Executive Branch Ethics Commission. The Legislative Ethics Commission administers legislative lobbying.

What is Executive Agency Lobbying?

The executive agency lobbying law requires that people, organizations or other groups who expend funds or receive compensation to influence an executive agency decision or make expenditures, such as gifts, meals and beverages to influence an executive agency decision, must register with the Executive Branch Ethics Commission and report their expenditures. An **executive agency decision** means a decision of an executive agency regarding the expenditure of state funds or funds of an executive agency with respect to the award of a contract, grant, lease, or other financial arrangement under which such funds are distributed or allocated.

The purpose of the law is to allow the public to know which persons or entities are making a significant effort to influence public policy as it relates to the expenditure of state funds. The provisions of the law can be found in Chapter 11A of the Kentucky Revised Statutes and Chapter 9 of the Kentucky Administrative Regulations.

Who Should Register as an Executive Agency Lobbyist, Employer, or Real Party in Interest?

Whether a person should register as an executive agency lobbyist is determined by the person's activity. An executive agency lobbyist is any individual who is engaged by an employer on a substantial basis, as one of his or her main purposes, to influence executive agency decisions or to conduct executive agency activity by direct communication. If the advocacy by direct communication regarding an executive agency decision is directed to an elected executive official, or a member of the staff of any such official, and the person is attempting to influence an executive agency decision, then the person engaged in such advocacy is an executive agency lobbyist.

The question that often arises is what does the phrase "on a substantial basis, as one of his or her main purposes" mean? In other words, at what point have you performed sufficient activity to warrant registration as an executive agency lobbyist? As a rule of thumb, if you have made direct contacts during a calendar year, for the purpose of influencing an executive agency decision involving state funds of at least \$5,000 per year, you should be registered as an executive agency lobbyist.

ATTENTION: Former Executive Branch Employees

KRS 11A.040(8) prohibits you for one (1) year from the date you leave state employment from lobbying on matters in which you had direct involvement the last thirty-six (36) months of your state employment.

Statutory definitions found in KRS 11A.201 *et seq.* are outlined as follows.

Who is an Executive Agency Lobbyist?

An ***executive agency lobbyist*** (EAL) is any **person** who is employed or ***engaged*** to influence ***executive agency decisions*** or to conduct ***executive agency lobbying activity*** as one of his main purposes on a ***substantial basis***.

Engage means to make any arrangement, and ***engagement*** means any arrangement, whereby an individual is employed or retained for ***compensation*** to act for or on behalf of an employer to influence executive agency decisions or to conduct any executive agency lobbying activity.

Compensation means any money, thing of value, or economic benefit conferred on, or received by, any person in return for service rendered, or to be rendered by himself or another.

Executive Agency Decision means a decision of an executive agency regarding the expenditure of funds of the state or of an ***executive agency*** with respect to the award of a contract, grant, lease, or other financial arrangement under which such funds are distributed or allocated.

Executive Agency means the office of an elected executive official, a cabinet listed in KRS 12.250 or any other state agency, department, board, or commission controlled or directed by an elected executive official or otherwise subject to his authority. "Executive agency" does not include any court or the General Assembly.

Executive Agency Lobbying Activity means contacts made to promote, oppose, or otherwise influence the outcome of an executive agency decision by direct communication with an elected executive official, the secretary of any cabinet listed in KRS 12.250, any ***executive agency official***, or a member of the ***staff*** of any of the officials listed in this paragraph.

Person means an individual, proprietorship, firm, partnership, joint venture, joint stock company, syndicate, business, trust, estate, company, corporation, association, club, committee, organization, or group of persons acting in concert.

Executive Agency Official means an officer or employee of an executive agency whose principal duties are to formulate policy or to participate directly or indirectly in the preparation, review, or award of contracts, grants, leases, or other financial arrangements with an executive agency.

Staff means any employee of the office of the Governor, or cabinet official listed in KRS 12.250, whose official duties are to formulate policy and who exercises administrative or supervisory authority or who authorizes the expenditure of state funds.

Substantial Basis means contacts which are intended to influence a decision that involves one or more disbursements of state funds in an amount of at least five thousand dollars (\$5,000) per year.

Who Is An Employer Of An Executive Agency Lobbyist?

An **employer** means any **person** who employs or engages an executive agency lobbyist.

Who is a Real Party in Interest?

A **real party in interest** is the person or organization on whose behalf the executive agency lobbyist is acting, if that person is not the employer. For example, if the ABC Corporation engages XYZ Consulting Company which, in turn, hires John Smith to influence decisions or conduct executive agency lobbying on behalf of ABC Corporation: (a) John Smith is the executive agency lobbyist; (b) XYZ Consulting Company is the employer; and (c) ABC Corporation is the “real party in interest”.

Who is Exempt From Registering?

- 1) Unpaid lobbyists.
- 2) A person who is attempting to influence a decision of an executive agency **that does not involve** the expenditure of state funds or the award of a contract, grant, lease, or other financial arrangement under which such funds are distributed or allocated.
- 3) A person whose job does not include lobbying as a “main purpose.” Example: an engineer for a public utility who sometimes is in contact with state highway officials about moving utility lines, but whose main duties do not include lobbying.
- 4) A person whose state contacts do not involve “substantial” state spending. Decisions involving state spending of less than \$5,000 per year are not considered “substantial.”
- 5) A firm or individual merely submitting a bid or responding to a Request for Proposal for a contract.
- 6) A person whose contacts with state officials are for the sole purpose of gathering information contained in a public record. Example: a businessman who seeks a fuller explanation of bidding specifications but makes no effort to change or otherwise influence a state decision on the bids.
- 7) A person whose lobbying is done only during appearances before public meetings of executive agencies.
- 8) A person whose contacts are limited to those employees whose official duties do not include policy formulation, administrative or supervisory authority, or expenditure authorization. To be considered lobbying,

contacts must be with: an elected official; a cabinet secretary; officials whose principal duties are to make policy or participate in the preparation or award of state contracts or other financial arrangements, or the staff of any of the above officials. (See KRS 11A.201(9), (10) and (14) for complete details.)

- 9) Officers or employees of federal, state or local governments or of state colleges and universities when acting within their official duties.
- 10) Persons exercising their constitutional right to assemble with others for their common good and petition state executive branch agencies for redress of grievances.
- 11) Persons acting to promote, oppose or otherwise influence the outcome of a decision of the Cabinet for Economic Development or any board or authority within or attached to the Cabinet relating to the issuance or award of a bond, grant, lease, loan, assessment, incentive inducement, or tax credit pursuant to KRS 42.4588, 103.210, Chapter 154 or Chapter 224A, or otherwise relating to another component of an economic incentive package

Someone who is marketing goods and services to the state as a vendor would normally be making “contacts . . . to promote, oppose, or otherwise influence the outcome of an executive agency decision” would be considered an executive agency lobbyist (“EAL”), and thus would be required to file if he does not fall under one of the exemptions listed above.

The executive agency lobbying laws do not apply to the efforts of persons who are attempting to influence executive agency decisions or conducting executive agency lobbying activity in any of the following circumstances:

- 1) Appearances at public hearings of the committees of the General Assembly, at court proceedings, at rule-making or adjudication proceedings, or at other public meetings;
- 2) News, editorial, and advertising statements published in newspapers, journals, or magazines, or broadcast over radio or television;
- 3) The gathering and furnishing of information and news by bona fide reporters, correspondents, or news bureaus to news media described in number two above;
- 4) Publications primarily designed for and distributed to members of associations or charitable or fraternal nonprofit corporations.

Is There a Registration Fee?

Yes. Each Employer of one or more lobbyists, and each Real Party in Interest, must pay a registration fee of **\$125** upon the filing of an **Updated Registration Statement due July 31** each year. Checks or money orders are acceptable means of payment and should be made payable to “Kentucky State Treasurer”. It is preferred that the **\$125 registration fee** accompany the submitted **Updated Registration Statement** for accurate recording purposes.

When an Employer or Real Party in Interest has terminated the engagement of all executive agency lobbyists registered on their behalf, the Employer or Real Party in Interest has consequently terminated its registration with the Executive Branch Ethics Commission. If an Employer or Real Party terminates their registration at any time during the reporting period, **a final Updated Registration Statement and \$125 registration fee must be submitted** to the Commission. Failure to pay the \$125 registration fee either with a regular Updated Statement or a final Updated Statement will constitute a deficiency in the filing of an updated registration statement and will subject the employer/real party in interest to the penalties outlined in KRS 11A.990(5).

INITIAL REGISTRATION STATEMENTS

Each executive agency lobbyist (“EAL”) must file an *Initial Registration Statement* that will, simultaneously, register the lobbyist, the employer, and the real party in interest. An executive agency lobbyist engaged by more than one employer or real party in interest must file a separate Initial Registration Statement for each engagement, i.e., for each employer. Employers must ensure that each individual executive agency lobbyist engaged to represent the employer files an Initial Registration Statement. The Initial Registration Statement is available for electronic completion on the Commission’s internet website at <http://ethics.ky.gov/>.

When Should You Register?

Each executive agency lobbyist, employer, and, if applicable, real party in interest, is required to file, jointly, an Initial Registration Statement **within ten (10) days** of the engagement of the executive agency lobbyist. Pursuant to KRS 11A.211, executive agency lobbyists and employers who fail to register, or who file an incomplete registration, will be afforded the opportunity for correction; however, failure to comply with such opportunity may result in the Commission's initiation of an investigation, and notification to each elected official and the Secretary of each Cabinet listed in KRS 12.250 of the pending investigation. The EAL also may be subject to prosecution and penalties.

Where do You Register?

The Initial Registration Statement must be filed with the Executive Branch Ethics Commission, Vest-Lindsey House, 401 Wapping Street, Frankfort, Kentucky 40601. The Initial Registration Statement may be completed electronically via the Commission’s website, but **must be printed, signed in ink, and mailed or delivered** to the Executive Branch Ethics Commission.

How Long is the Registration Valid?

Following registration, the executive agency lobbyist will be issued a registration card by the Executive Branch Ethics Commission effective from the date of its issuance until July 31. Upon filing of the Updated Registration Statement due on July 31 each year, the executive agency lobbyist will be issued a new card. A change in any information must be reflected on the subsequent Updated Registration Statement filed. **Until an executive agency lobbyist files a Termination Notification with the Commission, the lobbyist and his/her employer and real party interest are considered “active” and are required to file Updated Registration Statements.**

INITIAL REGISTRATION STATEMENT

EXECUTIVE AGENCY LOBBYIST/EMPLOYER AND REAL PARTY IN INTEREST

INSTRUCTIONS

Please complete all sections and all items of the Initial Registration Statement. **Do not leave blanks**; write "none" or check the box "If none, check here" where applicable.

A. EXECUTIVE AGENCY LOBBYIST INFORMATION

Provide information requested as it relates to the executive agency lobbyist.

B. EMPLOYER INFORMATION

The person or entity on whose behalf the executive agency lobbyist will be attempting to influence executive agency decisions is required to be listed as the employer. The employer is a person who engages an executive agency lobbyist.

Item 4: The Employer should designate one person at the Employer's address to serve as the contact for all executive agency lobbyists engaged by the company. The named person will receive correspondence and notices related to the Employer of the executive agency lobbyist(s). This individual will be responsible for the completion of the *Updated Registration Statement, Employer of Executive Agency Lobbyist* and payment of the \$125 registration fee. The updated registration statement and the registration fee are both **due July 31** of each year.

C. REAL PARTY IN INTEREST

The "real party in interest" is the person or organization on whose behalf the EAL is acting, if that person is not the employer. For example, if the ABC Corporation engages XYZ Consulting Company which, in turn, hires John Smith to influence decisions or conduct executive agency lobbying on behalf of ABC Corporation: (a) John Smith is the executive agency lobbyist; (b) XYZ Consulting Company is the employer; and (c) ABC Corporation is the "real party in interest."

Remember that it makes no difference how many parties come between the EAL and the real party in interest. The requirement is that the statement specifically identifies the real party in interest, if different from the employer.

Item 4: The Real Party in Interest should designate one person at the Real Party in Interest's address to serve as the contact for all executive agency lobbyists engaged by the real party. The named person will receive correspondence and notices related to the Real Party in Interest of the executive agency lobbyist(s). This individual will be responsible for the completion of the *Updated Registration Statement, Real Party in Interest* and payment of the \$125 registration fee. The updated registration statement and the registration fee are both **due July 31** of each year.

D. BRIEF DESCRIPTION OF THE EXECUTIVE AGENCY DECISION TO WHICH ENGAGEMENT RELATES

The description should state the subject matter areas for which the EAL has been engaged or is responsible. (Some examples: award of a lease for office space or equipment; award of a contract to provide food, clothing or other consumable products to a state agency; award of a personal service contract; award of grants for social services.)

E. LISTING OF OFFICES OF EXECUTIVE AGENCIES TO BE LOBBIED

Please check the primary state agency(ies) to which the engagement of the EAL relates. This should include only the probable state agency(ies) for which the executive agency lobbyist is engaged to influence or conduct activity on behalf of the employer.

Note: Executive agency officials may require certification from any person seeking the award of a contract, grant, lease, or financial arrangement that the person and his employer are in compliance with KRS 11A.211. The EAL registration card, supplied by the Executive Branch Ethics Commission, will serve as certification.

Certification and Signature

The Initial Registration Statement must be signed and certified by both the lobbyist and the employer designee. Initial Registration Statements will be accepted with original signatures only. Signatures in ink other than black are requested. You may complete the form electronically from the website, but you must print, sign and mail it to the Commission.

The \$125 annual registration fee required for all employers and real parties in interest **IS NOT PAID** with the filing of the Initial Registration Statement. The registration fee is paid when the employer/real party in interest files the Updated Registration Statement **due July 31** of each year.

INITIAL REGISTRATION STATEMENT

EXECUTIVE AGENCY LOBBYIST/EMPLOYER/REAL PARTY IN INTEREST

ATTENTION FORMER EXECUTIVE BRANCH EMPLOYEES: KRS 11A.040(8) prohibits you for one (1) year from the date you leave state employment from lobbying on matters in which you had direct involvement during the last thirty-six (36) months of your state employment.

*This statement must be filed with the Executive Branch Ethics Commission within ten (10) days of engagement. Please read instructions and review Kentucky Revised Statutes 11A.211 prior to filing. Upon termination of this engagement, there is an affirmative duty to notify the Executive Branch Ethics Commission within thirty (30) days. **ANY PERSON WHO KNOWINGLY FILES A FALSE STATEMENT IS IN VIOLATION OF STATE LAW AND SUBJECT TO FINES AND OTHER PENALTIES.***

A. Executive Agency Lobbyist Information

1. Full Name _____
2. Occupation _____ 3. Title _____
4. Firm Name _____
5. Business Address _____

6. Business Telephone (_____) _____ 7. FAX No. _____
8. E-Mail Address _____ 9. Cell/Mobile Telephone (_____) _____
10. Permanent Residential Address _____
11. Date of Engagement as Executive Agency Lobbyist with this Employer _____

B. Employer Information

1. Full name of company/organization _____
2. Type of Industry _____
3. Business Address _____

4. Employer Contact: Name and title of person responsible for completing the *Updated Registration Statement/Employer of Executive Agency Lobbyist* (each Employer should name one person as a contact).

Name _____ Title _____

Address (if different from Employer above)

Telephone _____ E-Mail Address _____

C. Real Party in Interest Information

1. Full name of company/organization _____
2. Type of Industry _____
3. Business Address _____

4. Name and title of person to whom Updated Registration Statement/Real Party in Interest should be sent for completion (each Real Party in Interest should name one person as a contact).

Name _____ Title _____

Address (if different from Real Party in Interest above)

Telephone _____ E-mail Address _____

(If none, check here [☐])

D. Brief description of the Executive Agency Decision(s) to which Executive Agency Lobbyist's engagement relates: (DO NOT LEAVE BLANK)

E. Listing of Executive Branch Agencies to which engagement relates: Please check all agencies you anticipate contacting in your capacity as an executive agency lobbyist for the employer listed on this form.

CONSTITUTIONAL AGENCIES/ELECTED OFFICIALS

- | | | |
|--|--|---|
| <input type="checkbox"/> Agricultural Development Board | <input type="checkbox"/> Governor's Office for Local Development | <input type="checkbox"/> Registry of Election Finance |
| <input type="checkbox"/> Agriculture, Department Of | <input type="checkbox"/> Kentucky Commission on Human Rights | <input type="checkbox"/> Secretary of State |
| <input type="checkbox"/> Attorney General, Office of the | <input type="checkbox"/> Kentucky Commission on Military Affairs | <input type="checkbox"/> State Board of Agriculture |
| <input type="checkbox"/> Auditor of Public Accounts | <input type="checkbox"/> Kentucky Commission on Women | <input type="checkbox"/> State Budget Director, Office of |
| <input type="checkbox"/> Elections, Board of | <input type="checkbox"/> Lieutenant Governor, Office of the | <input type="checkbox"/> State Treasurer |
| <input type="checkbox"/> Governor, Office of the | <input type="checkbox"/> Military Affairs, Department of | <input type="checkbox"/> Veterans' Affairs, Department of |

COMMERCE CABINET

- | | | |
|---|---|---|
| <input type="checkbox"/> African-American Heritage Commission, Kentucky | <input type="checkbox"/> Fish and Wildlife Resources, Kentucky | <input type="checkbox"/> Native-American Heritage Commission, Kentucky |
| <input type="checkbox"/> Artisans Center at Berea, Kentucky | <input type="checkbox"/> Foundation for the Arts, Kentucky | <input type="checkbox"/> Parks, Kentucky Department of |
| <input type="checkbox"/> Arts Council, Kentucky | <input type="checkbox"/> Heritage Council, Kentucky | <input type="checkbox"/> Public Affairs and Constituent Services, Office of |
| <input type="checkbox"/> Capital Plaza Operations, Office of | <input type="checkbox"/> Historical Society, Kentucky | <input type="checkbox"/> Purchase and Procurement, Office of |
| <input type="checkbox"/> Center for the Arts, Kentucky | <input type="checkbox"/> Horse Park, Kentucky | <input type="checkbox"/> Secretary, Office of the |
| <input type="checkbox"/> Coal Council, Kentucky | <input type="checkbox"/> Human Resources, Office of | <input type="checkbox"/> State Fair Board, Kentucky |
| <input type="checkbox"/> Coal Marketing and Export | <input type="checkbox"/> Humanities Council, Kentucky | <input type="checkbox"/> State Parks Commission |
| <input type="checkbox"/> Commission on Small Business Advocacy | <input type="checkbox"/> Information Technology, Office of | <input type="checkbox"/> Tourism, Department of |
| <input type="checkbox"/> Craft Marketing Program, Kentucky | <input type="checkbox"/> Intergovernmental Affairs, Office of | <input type="checkbox"/> Tourism Development Finance Authority |
| <input type="checkbox"/> Creative Services, Office of | <input type="checkbox"/> Legal Affairs, Office of | <input type="checkbox"/> Underground Railroad Advisory Council |
| <input type="checkbox"/> Finance and Administration, Office of | <input type="checkbox"/> Military Heritage Commission, Kentucky | |

ECONOMIC DEVELOPMENT CABINET

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| <input type="checkbox"/> Bluegrass State Skills Corporation | <input type="checkbox"/> Innovation and Commercialization for a Knowledge Based Economy, Department of | <input type="checkbox"/> New Business Development, Department for |
| <input type="checkbox"/> Existing Business Development, Department for | <input type="checkbox"/> Kentucky Economic Development Partnership | <input type="checkbox"/> Regional Development, Department for |
| <input type="checkbox"/> Financial Incentives, Department for | | <input type="checkbox"/> Secretary, Office of the |

EDUCATION CABINET

- | | | |
|--|--|---|
| <ul style="list-style-type: none"> <input type="checkbox"/> Adult Education, Foundation for <input type="checkbox"/> Blind State Rehabilitation Council, Department for the <input type="checkbox"/> Blind, Office for the <input type="checkbox"/> Budget and Administration, Office of <input type="checkbox"/> Career and Technical Education, Office of <input type="checkbox"/> Center for School Safety, Board for the <input type="checkbox"/> Client Assistance Program <input type="checkbox"/> Communication, Office of <input type="checkbox"/> Council on Postsecondary Education <input type="checkbox"/> Deaf and Hard of Hearing, Kentucky Commission on the <input type="checkbox"/> Early Childhood Business Council | <ul style="list-style-type: none"> <input type="checkbox"/> Early Childhood Development Authority <input type="checkbox"/> Early Childhood Professional Development Council <input type="checkbox"/> Early Intervention System Interagency Coordinating Council <input type="checkbox"/> Education Professional Standards Board <input type="checkbox"/> Education, Department of <input type="checkbox"/> Education, Kentucky Board of <input type="checkbox"/> Employment and Training, Office of <input type="checkbox"/> Environmental Education Council, Kentucky <input type="checkbox"/> Governor's Scholars Program <input type="checkbox"/> Kentucky Education Television <input type="checkbox"/> Legal Services, Office of | <ul style="list-style-type: none"> <input type="checkbox"/> Legislative and Intergovernmental Affairs, Office of <input type="checkbox"/> Libraries and Archives, Department of <input type="checkbox"/> Martin Luther King Commission <input type="checkbox"/> Secretary, Office of the <input type="checkbox"/> Statewide Council for Vocational Rehabilitation <input type="checkbox"/> Statewide Independent Living Council <input type="checkbox"/> Technical Education Personnel Board, Kentucky <input type="checkbox"/> Unemployment Insurance Commission <input type="checkbox"/> Vocational Rehabilitation, Office of <input type="checkbox"/> Workforce Development, Foundation for <input type="checkbox"/> Workforce Investment Board, Kentucky <input type="checkbox"/> Workforce Investment, Department of |
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ENVIRONMENTAL AND PUBLIC PROTECTION CABINET

- | | | |
|--|--|--|
| <ul style="list-style-type: none"> <input type="checkbox"/> Alcoholic Beverage Control, Office of <input type="checkbox"/> Apprenticeship and Training Council <input type="checkbox"/> Athletic Commission, Kentucky <input type="checkbox"/> Charitable Gaming, Office of <input type="checkbox"/> Claims, Board of <input type="checkbox"/> Crime Victims Compensation Board <input type="checkbox"/> Employers Insurance Association, Kentucky <input type="checkbox"/> Employers Mutual Insurance Authority <input type="checkbox"/> Environmental Protection, Department for <input type="checkbox"/> Environmental Quality Commission, Kentucky <input type="checkbox"/> Financial Institutions, Office of <input type="checkbox"/> Horse Racing Authority, Kentucky <input type="checkbox"/> Housing, Buildings and Construction Board <input type="checkbox"/> Housing, Buildings and Construction, Office of | <ul style="list-style-type: none"> <input type="checkbox"/> Insurance, Office of <input type="checkbox"/> Labor Management Relations and Mediation, Office of <input type="checkbox"/> Labor, Department of <input type="checkbox"/> Labor-Management Advisory Council <input type="checkbox"/> Mine Safety and Licensing, Office of <input type="checkbox"/> Mine Safety Review Commission <input type="checkbox"/> Mobile Home Board and RV Board <input type="checkbox"/> Natural Resources, Department for <input type="checkbox"/> Nature Preserves Commission, Kentucky State <input type="checkbox"/> Occupational Safety and Health Review Commission, Kentucky <input type="checkbox"/> Occupational Safety and Health Standards Board <input type="checkbox"/> Occupational Safety and Health, Office of | <ul style="list-style-type: none"> <input type="checkbox"/> Oil and Gas Commission <input type="checkbox"/> Prevailing Wage Review Board <input type="checkbox"/> Public Protection, Department for <input type="checkbox"/> Public Service Commission, Kentucky <input type="checkbox"/> Secretary, Office of the <input type="checkbox"/> State Labor Relations Board <input type="checkbox"/> Tax Appeals, Board of <input type="checkbox"/> Technical and Administrative Support, Office of <input type="checkbox"/> Workers Claims, Office of <input type="checkbox"/> Workers Compensation Advisory Council <input type="checkbox"/> Workers Compensation Board <input type="checkbox"/> Workers Compensation Funding Commission <input type="checkbox"/> Workers Compensation Nominating Commission <input type="checkbox"/> Workplace Standards, Office of |
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FINANCE AND ADMINISTRATION CABINET

- | | | |
|--|--|---|
| <ul style="list-style-type: none"> <input type="checkbox"/> Administrative Services, Office of <input type="checkbox"/> Commonwealth Office of Technology <input type="checkbox"/> Controller, Office of the <input type="checkbox"/> Facilities Management, Department for <input type="checkbox"/> Financial Management, Office of <input type="checkbox"/> General Counsel, Office of <input type="checkbox"/> Kentucky Higher Education Assistance Authority <input type="checkbox"/> Kentucky Higher Education Student Loan Corporation | <ul style="list-style-type: none"> <input type="checkbox"/> Kentucky Housing Corporation <input type="checkbox"/> Kentucky River Authority <input type="checkbox"/> Local Correctional Facilities Construction Authority <input type="checkbox"/> Lottery Corporation, Kentucky <input type="checkbox"/> Material and Procurement Services, Office of <input type="checkbox"/> Public Information, Office of <input type="checkbox"/> PVA Office <input type="checkbox"/> Retirement Systems, Kentucky | <ul style="list-style-type: none"> <input type="checkbox"/> Revenue, Department of <input type="checkbox"/> School Facilities Construction Commission <input type="checkbox"/> Secretary, Office of the <input type="checkbox"/> State Investment Commission <input type="checkbox"/> State Property and Buildings Commission <input type="checkbox"/> Teachers' Retirement System Board of Trustees, Kentucky <input type="checkbox"/> Turnpike Authority of Kentucky |
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HEALTH AND FAMILY SERVICES CABINET

- | | | |
|---|--|--|
| <ul style="list-style-type: none"> <input type="checkbox"/> Certificate of Need, Office of <input type="checkbox"/> Children with Special Health Care Needs, Commission for <input type="checkbox"/> Community Based Services, Department for <input type="checkbox"/> Community Volunteerism and Service, Kentucky Commission on | <ul style="list-style-type: none"> <input type="checkbox"/> Disability Determination Services, Department for <input type="checkbox"/> Human Services <input type="checkbox"/> Human Support Services, Department for <input type="checkbox"/> Medicaid Services, Department for | <ul style="list-style-type: none"> <input type="checkbox"/> Mental Health and Mental Retardation Services, Department for <input type="checkbox"/> Ombudsman, Office of <input type="checkbox"/> Public Health, Department for <input type="checkbox"/> Secretary, Office of the |
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JUSTICE AND PUBLIC SAFETY CABINET

- | | | |
|---|---|--|
| <ul style="list-style-type: none"> <input type="checkbox"/> Community Services and Facilities, Office of <input type="checkbox"/> Corrections Commission, Kentucky State <input type="checkbox"/> Corrections, Department of <input type="checkbox"/> Criminal Justice Council <input type="checkbox"/> Criminal Justice Training, Department of <input type="checkbox"/> Drug Control Policy, Office of <input type="checkbox"/> Homeland Security, Office of | <ul style="list-style-type: none"> <input type="checkbox"/> Investigations, Office of <input type="checkbox"/> Juvenile Justice, Department of <input type="checkbox"/> Kentucky State Police, Department of <input type="checkbox"/> Kentucky Vehicle Enforcement, Department of <input type="checkbox"/> Legal Services, Office of <input type="checkbox"/> Legislative and Intergovernmental Services, Office of | <ul style="list-style-type: none"> <input type="checkbox"/> Management and Administrative Services, Office of <input type="checkbox"/> Parole Board <input type="checkbox"/> Public Advocacy, Department for <input type="checkbox"/> Public Safety Training, Office of <input type="checkbox"/> Secretary, Office of the <input type="checkbox"/> State Medical Examiner, Office of the |
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PERSONNEL CABINET

☐ Administrative and Legal Services, Office of
☐ Employee Insurance, Department for
☐ Employee Relations, Office for

☐ Government Training, Office of
☐ Kentucky Public Employees Deferred
Compensation Authority

☐ Office of the Secretary
☐ Personnel Administration,
Department for

TRANSPORTATION CABINET

☐ Administrative Services, Department of
☐ Aviation, Department of

☐ Highways, Department of
☐ Kentucky Airport Zoning Commission

☐ Office of the Secretary
☐ Vehicle Regulation, Department of

GENERAL GOVERNMENT / BOARDS AND COMMISSIONS

☐ Accountancy, Board of
☐ Alcohol and Drug Counselors, Board of
☐ Auctioneers, Board of
☐ Barbering, Board of
☐ Chiropractic Examiners, Board of
☐ Dentistry, Board of
☐ Dieticians and Nutritionists, Board of Certification for
☐ Embalmers and Funeral Directors, Board of
☐ Emergency Medical Services, Board of
☐ Examiners and Registration of Architects, Board of
☐ Executive Branch Ethics Commission
☐ Fee-Based Pastoral Counselors, Board of
☐ Hairdressers and Cosmetologists, Board of
☐ Hearing Instruments, Board of Specialists
☐ Heating, Ventilation and Air Conditioning Contractors,
Board of
☐ Interpreters for the Deaf and Hard of Hearing, Board of

☐ Landscape Architects, Board of
Examiners and Registration of
☐ Marriage and Family Therapists, Board of
Certification for
☐ Massage Therapy, Board of Licensure for
☐ Medical Licensure, Board of
☐ Nursing Home Administrators, Board of
Licensure for
☐ Nursing, Board of
☐ Occupational Therapy, Board of Licensure for
☐ Ophthalmic Dispensers, Board of
☐ Optometric Examiners, Board of
☐ Personnel Board
☐ Pharmacy, Board of
☐ Physical Therapy, Board of
☐ Podiatry, Board of

☐ Private Investigators, Board of Licensure for
☐ Professional Art Therapists, Board of
Certification for
☐ Professional Counselors, Board of
☐ Professional Engineers and Land
Surveyors, Board of Licensure for
☐ Professional Geologists, Board of
Registration for
☐ Psychology, Board of Examiners of
☐ Real Estate Appraisers, Board of
☐ Real Estate Commission
☐ Respiratory Care, Board of
☐ Social Work, Board of
☐ Speech-Language Pathology and Audiology,
Board of
☐ Veterinary Examiners, Board of

**I CERTIFY UNDER PENALTY OF LAW THAT THE INFORMATION GIVEN IN THIS INITIAL
REGISTRATION STATEMENT IS COMPLETE AND ACCURATE.**

Date _____ Signature _____
(Executive Agency Lobbyist)

Date _____ Signature _____
(Employer Contact)

Please type name and title of person signing for Employer

After completing, submit your Initial Registration Statement to the address below:

Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION
Vest-Lindsey House, 401 Wapping Street
Frankfort, Kentucky 40601
(502) 564-7954 FAX (502) 564-2686

UPDATED REGISTRATION STATEMENTS

Once registered, executive agency lobbyists, employers, and real parties in interest are each required to file an ***Updated Registration Statement*** annually. Updated Registration Statements are due July 31 for the reporting period July 1 through June 30. An executive agency lobbyist is required to file only one Updated Registration Statement for each reporting period. The single Updated Registration Statement contains information for each of the lobbyist's employers. Both the employer and the real party in interest are required to file only one Updated Registration Statement for all of their lobbyists for each reporting period. **Additionally, each employer and real party in interest are required to pay a \$125 registration fee upon filing their respective updated registration statements.** Each lobbyist, employer and real party in interest is responsible for the filing of their respective form.

When a lobbyist has only one employer and that employer has only one lobbyist, with the lobbyist listed as the “employer contact” on the Initial Registration Statement, the lobbyist and employer may alternately file an ***Updated Registration Statement Lobbyist/Employer “COMBINED”*** in lieu of filing two separate updated registration statements. The “***COMBINED***” form may only be used if neither the lobbyist nor the employer has expenses or financial transactions to report. The employer is still required to pay the \$125 registration fee even if the employer qualifies to complete the “***COMBINED***” form.

In addition to reporting changes in name, address, employer name, etc., an Updated Registration Statement has four types of information:

1. **Confirmation** of the continuing existence of each engagement described in the Initial Registration Statement;
2. **A list of the specific executive agency decisions** that the lobbyist sought to influence under the engagement during the period covered by the Updated Registration Statement;
3. **A statement of expenditures;** and
4. Details of any **financial transactions.**

The following pages explain in detail the individual reporting requirements for the executive agency lobbyist, the employer of the executive agency lobbyist, and the real party in interest. Updated Registration Statements are available for electronic completion on the Commission’s internet website at <http://ethics.ky.gov/>.

Confirmation of Engagement

The Updated Registration Statement asks the executive agency lobbyist whether the lobbyist continues to represent the employer and real party in interest for which the Updated Registration Statement is being completed. **If you have answered the question "No, " you must state the date of the termination.**

If the date of termination falls within a reporting period - **even one day** - you are required to file a final Updated Registration Statement for that reporting period. If you terminate an engagement at the beginning or in the middle of a reporting period, you may file your Updated Registration Statement at the time of termination. You are not required to wait until the end of the reporting period. It is preferred that this method be used to insure the filing of the final Updated Registration Statement is not overlooked unless, as a lobbyist, you are engaged by more than one employer or real party in interest, or as an employer, you engage more than one lobbyist.

When all lobbyists engaged by an employer or real party in interest terminate their registrations with the Commission, then the employer/ real party in interest has effectively terminated their registration with the Commission as well. However; **the employer/real party in interest must file a final Updated Registration Statement with the Commission and pay the \$125 registration fee for the final reporting period.**

List of Specific Executive Agency Decisions

The Updated Registration Statement requires you to list the specific executive agency decisions the lobbyist attempted to influence on behalf of his employer during the reporting period. Related to this is the requirement that you must list each additional executive agency or agencies to which the engagement relates.

Statement of Expenditures

Each Updated Registration Statement is required to contain a statement of ***expenditures***. An executive agency lobbyist is required to file a **separate** statement of expenditures for **each** employer engaging him; however, this is included within the same Updated Registration Statement. Each employer or real party in interest is required to file only one statement of expenditures regardless of the number of executive agency lobbyists it engages. Those expenditures attributable to an employer or real party in interest are those that are paid directly by the company or paid by an individual on behalf of the company and the individual is not the registered executive agency lobbyist.

What is an Expenditure?

Expenditure means any of the following that is made to or for the benefit of an elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of such officials. Expenditures do not include the employer's cost to lobby such as lobbyists' compensation or travel.

- (1) A payment, distribution, loan, advance, deposit, reimbursement, or gift of money, real estate, or anything of value, including, but not limited to, food and beverages, entertainment, lodging, transportation, or honoraria;
- (2) A contract, promise, or agreement to make an expenditure; or
- (3) The purchase, sale, or gift of services or any other thing of value.

What is Not an Expenditure?

"Expenditure" does not include:

- (1) A contribution, gift, or grant to a foundation or other charitable organization that is exempt from federal income taxation under subsection 501(c)(3) of the Internal Revenue Code;
- (2) The purchase, sale, or gift of services or any other thing of value that is available to the general public on the same terms as it is available to the persons listed above;
- (3) A payment, contribution, gift, purchase, or any other thing of value that is made to or on behalf of any elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or any member of the staff of any of the officials listed in this paragraph who works for a state agency for which the executive agency lobbyist is not registered to influence.

Statement of Financial Transactions

Also included in the Updated Registration Statement is a *Statement of Financial Transactions*. ***Financial transaction*** means a transaction or activity that is conducted or undertaken for profit and arises from the ownership, or the joint ownership, or part ownership in common of any real or personal property or any commercial or business enterprise of whatever form or nature between the following:

- (1) An executive agency lobbyist, his employer, a real party in interest, or a member of the *immediate family* of the executive agency lobbyist or his employer or a real party in interest; and
- (2) An elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of such official.

"Financial transaction" does not include any transaction or activity if it is available to the general public on the same terms.

UPDATED REGISTRATION STATEMENT

EXECUTIVE AGENCY LOBBYIST

INSTRUCTIONS

Please complete all sections and all items of the Updated Registration Statement. **Do not leave blanks;** write "none" or check the box "If none, check here" where applicable. If additional space is needed for any item, attach an additional sheet, identifying the section and item number to which the attachment relates. If you have marked "amended," you need only fill in the amended information.

Refer to KRS 11A.211, 11A.216, and 11A.221 as to what information is sought in each section of this combined statement. In addition, certain items are explained below.

A. GENERAL INFORMATION

Item 1: Provide your full name as it appears on your Initial Registration Statement; your executive agency lobbyist number as found on your Executive Agency Lobbyist Registration Card; and the name of your employer.

Item 3: Indicate whether this is a regular or final updated statement or an amended statement, i.e. a statement which is being filed after a statement had been previously filed for the same reporting period. An amended statement should be filed if a correction is requested or needs to be made, e.g. a change in Total Expenditure amount in which you later discovered an error; change in address; or filing of an expenditure amount previously withheld from the original statement due to a dispute. If an amended statement is being filed, indicate which reporting year the statement is amending, and complete only those sections which are being changed by the amended filing.

Item 5: If your initial registration indicated any Real Party(ies) in Interest, and you are adding or deleting a Real Party, indicate whether the Real Party is an addition or deletion.

B. EXECUTIVE AGENCY DECISIONS

If you are an executive agency lobbyist *who represents more than one employer*, you must complete Sections B and C for each employer you represent by copying the third page of the statement. At the top of the third page indicate the employer for which you are reporting, your name and lobbyist number. Then complete Section B and Section C as it relates to the employer you listed at the top of the page. Attach the additional copies of the third page to the Updated Registration Statement, making sure the signature page follows.

Item 1: List the specific executive agency decisions which you attempted to influence, on behalf of the employer, during the reporting period and the specific agencies contacted. An example of an executive agency decision to be listed is "contract for purchase of (commodity) by Kentucky Department of _____. List contract or purchase order number, if known.

Item 2: Since your Initial Registration Statement or most recent Updated Registration Statement, describe any additional types of executive agency decisions which relate to your engagement. For example, if your initial registration stated that you will be attempting to influence executive agency decisions relative to "Contracts for Data Processing Services", and now you will also be attempting to influence "Contracts for Purchase of Computer Hardware", write in the latter.

C. EXECUTIVE AGENCY LOBBYIST EXPENDITURE STATEMENT

Report all expenditures made by you on behalf of your employer to, or for the benefit of, an elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of any of these officials, unless the expenditure was made for the benefit of an official of a cabinet which the lobbyist is not engaged to influence. Examples of expenditures to be reported include amounts for food and beverages, transportation, lodging, honoraria, and miscellaneous expenditures. List the name of the official or employee for whom the expenditure was made; type of expenditure; for what meeting, event or occasion; when the expenditure occurred; and the amount of the expenditure. Any expenditure reported requires the naming of an official or employee, and requires that you deliver a copy of the applicable section(s) of the expenditure statement to the identified official or employee at least ten (10) days before the statement is to be filed with the Executive Branch Ethics Commission.

See KRS 11A.226 for the procedure to be followed relative to any dispute which may arise concerning a reported expenditure.

D. FINANCIAL TRANSACTIONS INVOLVING EXECUTIVE AGENCY LOBBYISTS

If you, or a member of your immediate family, had, during the reporting period, a financial transaction with, or for the benefit of an official or employee so listed, state the name of the official or employee, the purpose and nature of the transaction, the date such transaction was made or entered into, and any other pertinent details.

A financial transaction is a transaction or activity that is conducted or undertaken for profit and arises from the ownership, or the joint ownership, or part ownership in common of any real or personal property or any commercial or business enterprise of any form or nature between:

1. An executive agency lobbyist, his employer, a real party in interest or a member of the immediate family of an executive agency lobbyist, his employer, or a real party in interest, AND
2. Any executive agency employee (including elected and appointed officials) UNLESS such transaction is available to the general public on the same terms.

The reporting of any financial transaction requires the naming of an official or employee, and requires that you deliver a copy of the financial transaction statement to the identified official or employee at least ten (10) days before the statement is to be filed with the Executive Branch Ethics Commission.

See KRS 11A.226 for the procedure to be followed relative to any dispute that may arise concerning a reported financial transaction

There is no fee required with the filing of the **Updated Registration Statement, Executive Agency Lobbyist**.

CERTIFICATION:

This section requires the **original signature** of the executive agency lobbyist and the date on which the statement was signed. The signing of the statement attests to the completeness and accuracy of the statement, according to the best knowledge of the executive agency lobbyist. You may complete the statement electronically by accessing the form from the Commission's internet website; however, the form must be printed, signed and mailed to the address below. The law requires an "original" signature on all forms.

COMPLETED AND SIGNED STATEMENTS ARE DUE ***ON OR BEFORE*** July 31.

If you have questions, contact:

Executive Branch Ethics Commission
Vest-Lindsey House
401 Wapping Street
Frankfort, Kentucky 40601
(502) 564-7954
FAX (502) 564-2686

UPDATED REGISTRATION STATEMENT EXECUTIVE AGENCY LOBBYIST

Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION
Vest-Lindsey House, 401 Wapping Street
Frankfort, Kentucky 40601
(502) 564-7954 FAX (502) 564-2686

*This statement must be filed with the Executive Branch Ethics Commission by the last day of July. Please read instructions and review KRS 11A.211, 11A.216 and 11A.221 prior to filing. Upon termination of this engagement, there is an affirmative duty to notify the Executive Branch Ethics Commission within thirty (30) days. **ANY PERSON WHO KNOWINGLY FILES A FALSE STATEMENT IS IN VIOLATION OF STATE LAW AND SUBJECT TO FINES AND OTHER PENALTIES.***

A. GENERAL INFORMATION

1. Full Name of Executive Agency Lobbyist _____
Executive Agency Lobbyist # _____
Name of Employer(s) _____

2. Based on your Initial Registration Statement or last Updated Registration Statement, state any changes in:

Occupation: _____ or Title _____

Business Address: _____

Street

Suite #

City

State

Zip Code

Telephone

Residential Address: _____

Street

Suite #

City

State

Zip Code

E-Mail Address: _____ FAX _____

(If no changes, check here [])

3. Type of Report:

[] Regular Update Statement for the period July 1 – June 30, 20 ____ (due July 31)

[] Amended Statement for the period of: _____

[] Final Update Statement for the period July 1 – TERMINATION.

4. **Terminations:** Do you continue to represent the Employer(s) listed on this form as an executive agency lobbyist?

☐ Yes

☐ No

If no, please list all Employers by whom you are no longer engaged and the date of termination:

EMPLOYER NAME

Date of Termination

5. Based on your Initial Registration Statement or last Updated Registration Statement, state any additions or deletions of Real Party(ies) in Interest:

NAME OF REAL PARTY IN INTEREST	BUSINESS ADDRESS	EMPLOYER	DATE OF ADDITION	DATE OF DELETION

(If no changes, check here ☐)

Instructions for Completing Section B and Section C

If you represent more than one employer, you must complete the following page (Section B and C) for each employer you represent. Copy the following page of the Updated Registration Statement, Executive Agency Lobbyist for each employer and complete the information in Section B and Section C of each copy as it relates to each of your employers. Attach the additional copies to the Updated Registration Statement.

EMPLOYER: _____ **EAL NAME & NUMBER:** _____

B. EXECUTIVE AGENCY DECISIONS

1. List the specific agency decisions you sought to influence for this Employer during this reporting period:
(Attach additional sheet if necessary) _____

(If none, check here [☐])

2. Since your Initial Registration Statement or last Updated Registration, describe any additional types of executive agency decisions to which this engagement relates:

(If no changes, check here [☐])

3. State any additions to or deletions from the list of elected executive officials, departments or agencies for which you will be influencing agency decisions for this named Employer:

(If no changes, check here [☐])

C. EXECUTIVE AGENCY LOBBYIST EXPENDITURES STATEMENT

During this reporting period, if you made expenditures to, or for the benefit of, an elected executive official, any Secretary of a Cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of any of these officials who works for a state agency for which you are registered to influence, provide the following information regarding such expenditures:

Name of Official, Employee or Staff Member of Official	Describe type of Expenditure (Transportation, Lodging, or Meals, etc.) and provide a description of each Meeting, Event or Occasion to which the Expenditure pertains.	Date of Expenditure	Amount of Expenditure
			\$
			\$
			\$
		TOTAL	\$

(If none, check here [☐])

Any Executive Agency Lobbyist who is required to complete Section C shall deliver a copy of the expenditure statement, or the portion showing the expenditures, to the person identified as receiving the benefit of the expenditure, at least ten (10) days before this statement is filed. If a dispute arises, the disputed expenditure does not have to be reported until a final decision by the Commission.

D. FINANCIAL TRANSACTIONS INVOLVING EXECUTIVE AGENCY LOBBYIST

If you, or a member of your immediate family, had, during the reporting period, a financial transaction, with or for the benefit of, an elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or any member of the staff of any of these officials above, provide the following information regarding such financial transaction.

1. Name of official, employee or staff member: _____

2. Brief description of the purpose and nature of the transaction:

3. Date transaction was made or entered into: _____

4. Other pertinent details:

(Attach sheet for each additional official, employee, or staff member.)

(If none, check here [])

Any Executive Agency Lobbyist who is required to complete Section D shall deliver a copy of the financial transaction statement to the person identified in Section D above at least ten (10) days before this statement is filed. If a dispute arises, the disputed financial transaction does not have to be reported until a final decision by the Commission.

CERTIFICATION: I certify that the information contained in the registration statement is complete and accurate.

Signature of Executive Agency Lobbyist

Date

UPDATED REGISTRATION STATEMENT EMPLOYER OF EXECUTIVE AGENCY LOBBYIST

INSTRUCTIONS

Please complete all sections and all items of the Updated Registration Statement. **Do not leave blanks**; write "none" or check the box "If none, check here", where applicable. If additional space is needed for any item, attach an additional sheet, identifying the section and item number to which the attachment relates. If you have marked "amended," you need only fill in the amended information.

Refer to KRS 11A.211, 11A.216, and 11A.221 as to what information is sought in each section of this combined statement. In addition, certain items are explained below.

A. GENERAL INFORMATION

Item 1: Provide full name of the company or organization employing the executive agency lobbyist(s) as it appears on the Initial Registration Statement.

Item 3: Indicate whether this is a regular update statement, final update statement, or an amended statement, i.e., a statement which is being filed after a statement had been previously filed for the same reporting period. An amended statement should be filed if a correction is requested or needs to be made, e.g., a change in Total Expenditure amount in which you later discovered an error; change in address; or filing of an expenditure amount previously withheld from the original statement due to a dispute. If an amended statement is being filed, indicate which reporting year the statement is amending and complete only those sections which are being changed by the amended filing. **A \$125 registration fee is required of all employers when filing the updated registration statement each year regardless of the type of report being filed.**

Item 4: Provide the full name of ALL executive agency lobbyists who were registered to represent the employer during the reporting period, including those executive agency lobbyists who are no longer engaged by the employer, but were engaged by the employer during any part of the reporting period. Fill in the EAL registration number(s) of each, if known. **DO NOT LEAVE THIS SECTION BLANK**

Item 5: If the engagement of an executive agency lobbyist was terminated, and/ or a new executive agency lobbyist was engaged, during the reporting period, state the name(s) of the individual(s) and the applicable dates.

Item 6: If the Initial Registration Statement indicated any real party(ies) in interest, and the employer is adding or deleting a real party, list the name and indicate whether the real party is an addition or deletion.

B. EXECUTIVE AGENCY DECISIONS

List ALL specific executive agency decisions for which executive agency lobbyists were engaged by the employer to influence during the reporting period. An example of an executive agency decision to be listed is "contract for purchase of (commodity) by Kentucky Department of _____". List the contract or purchase order number, if known.

C. EMPLOYER EXPENDITURES STATEMENT

Report ALL expenditures made by the employer, which (1) are not being reported by an executive agency lobbyist engaged by the employer, and (2) were made to, or for the benefit of, an elected executive official, any secretary of a Cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of any of those officials. List the name of the official or employee for whom the expenditure was made; type of expenditure; description of meeting, event, or occasion for which the expenditure was made; when the expenditure occurred; and the amount of the expenditure.

Examples of expenditures to be reported include the cost of a reception for, or entertainment of, any of the state officials listed above. You do not need to report expenditures for office facilities, support services, or salary of the executive agency lobbyist.

Any expenditure reported requires the naming of an official or employee, and requires that you deliver a copy of the applicable section(s) of the expenditure statement to the identified official or employee at least ten (10) days before this statement is to be filed with the Commission.

See KRS 11A.226 for the procedure to be followed relative to any dispute that may arise concerning the reported expenditure.

D. FINANCIAL TRANSACTIONS INVOLVING EMPLOYER OF EXECUTIVE AGENCY LOBBYIST

If the employer, or a member of the employer's immediate family, had, during the reporting period, a financial transaction with, or for the benefit of, an official or employee so listed, state the name of the official or employee, the purpose and nature of the transaction, the date such transaction was made or entered into, and any other pertinent details.

A financial transaction is a transaction or activity that is conducted or undertaken for profit and arises from the joint ownership, or the ownership, or part ownership in common of any real or personal property or any commercial or business enterprise of any form or nature between:

1. An executive agency lobbyist, his employer, a real party in interest or a member of the immediate family of an executive agency lobbyist, his employer, or a real party in interest, AND
2. Any executive agency employee (including elected and appointed officials) UNLESS such transaction is available to the general public on the same terms.

The reporting of any financial transaction requires the naming of an official or employee, and requires that you deliver a copy of the financial transaction statement to the identified official or employee at least ten (10) days before the statement is to be filed with the Executive Branch Ethics Commission.

See KRS 11A.226 for the procedure to be followed relative to any dispute that may arise concerning a reported financial transaction.

E. REGISTRATION FEE

Each employer of one or more executive agency lobbyists is required to pay a registration fee of \$125.00 with the filing of the *Updated Registration Statement, Employer of Executive Agency Lobbyist(s)* whether the employer is submitting a regular or final report. KRS 11A. 211(5). Payment may be made by check or money order payable to the “**KENTUCKY STATE TREASURER**”. For accuracy in recording, it is preferred that payment accompany the filing of the updated registration statement. Failure to submit the \$125 registration fee will constitute a deficiency in the filing of an updated registration statement and will subject the employer to penalties outlined in KRS 11A.990(5).

CERTIFICATION:

This section requires the **original signature** of the person signing for the employer and the date on which the statement was signed. The signing of the statement attests to the completeness and accuracy of the statement, according to the best knowledge of the employer. You may complete the statement electronically by accessing the form from the Commission’s internet website; however, the form must be printed, signed and mailed to the address below. The law requires an “original” signature on all forms. Completed and signed statements and registration fees are due **ON OR BEFORE July 31**.

If you have questions, contact:

Executive Branch Ethics Commission
Vest-Lindsey House
401 Wapping Street
Frankfort, Kentucky 40601
(502) 564-7954
FAX (502) 564-2686

UPDATED REGISTRATION STATEMENT EMPLOYER OF EXECUTIVE AGENCY LOBBYIST

Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION
Vest-Lindsey House, 401 Wapping Street
Frankfort, Kentucky 40601
(502) 564-7954 FAX (502) 564-2686

*This statement and a \$125 registration fee must be filed with the Executive Branch Ethics Commission by the last day of July. Please read instructions and review KRS 11A.211, 11A.216, and 11A.221 prior to filing. Upon termination of this engagement, there is an affirmative duty to notify the Executive Branch Ethics Commission within thirty (30) days. **ANY PERSON WHO KNOWINGLY FILES A FALSE STATEMENT IS IN VIOLATION OF STATE LAW AND SUBJECT TO FINES AND OTHER PENALTIES.***

A. GENERAL INFORMATION

1. Full Name of Employer: _____
2. Based on your Initial Registration Statement or last Updated Registration Statement, state any changes in:

Employer's Name: _____

Employer's Contact: _____

Employer's Business Address:

Street *Suite #*

City *State* *Zip*

Telephone *Fax No.* *E-Mail Address*

3. Type of Report:
☐ Regular Update Report for the period July 1 - June 30, 20 _____. (due July 31)
☐ Amended Statement for the period of: _____
☐ Final Update Statement for the period July 1 – TERMINATION.

4. Provide the full name of all Executive Agency Lobbyists who were registered to represent the Employer at any time during the reporting period. **DO NOT LEAVE THIS SECTION BLANK.**

Name of Executive Agency Lobbyist	Lobbyist Registration #

(Attach additional sheet if necessary)

5. If the Employer terminated the engagement of any Executive Agency Lobbyist or engaged a new Executive Agency Lobbyist at any time during this reporting period, state the name of the Executive Agency Lobbyist and the date on which the termination or engagement occurred:

Name of Executive Agency Lobbyist	Termination Date	Engagement Date	Registration # (if known)

6. Based on the Initial Registration Statement or last Updated Registration Statement, state any additions or deletions of Real Party(ies) in Interest (attach additional sheet if necessary):

Name of Real Party In Interest	Business Address	Date of Addition	Date of Deletion

(If no changes, check here ☐)

B. EXECUTIVE AGENCY DECISIONS

List the specific executive agency decisions which Executive Agency Lobbyists engaged by the Employer sought to influence, during this reporting period.

C. EMPLOYER EXPENDITURES STATEMENT

During this reporting period, if the Employer made expenditures to, or for the benefit of, an elected executive official, any Secretary of a Cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of any of these officials who works for a state agency for which the Employer is registered to influence, and such expenditures were not reported by an Executive Agency Lobbyist, provide the following information regarding such expenditures:

(Attach additional sheet if necessary)

Name of Official, Employee or Staff Member of Official	Describe type of Expenditure (Transportation, Lodging, or Meals, etc.) and provide a description of each Meeting, Event or Occasion to which the Expenditure pertains.	Date of Expenditure	Amount of Expenditure
			\$
			\$
			\$
			\$
		TOTAL	\$

(If none, check here ☐)

Any Employer of an Executive Agency Lobbyist who is required to complete Section C shall deliver a copy of the expenditure statement, or the portion showing the expenditures, to the person identified as receiving the benefit of the expenditure, at least ten (10) days before this statement is filed. If a dispute arises, the disputed expenditure does not have to be reported until a final decision by the Commission.

D. FINANCIAL TRANSACTIONS INVOLVING EMPLOYER OF EXECUTIVE AGENCY LOBBYIST

If the Employer, or a member of the Employer's immediate family, had, during the reporting period, a financial transaction with, or for the benefit of, an elected executive official, the Secretary of a Cabinet listed in KRS 12.250, an executive agency official, or any member of the staff of any of the officials above, and such financial transaction is not reported by an Executive Agency Lobbyist, provide the following information regarding such financial transaction:

1. Name of official, employee or staff member: _____
2. Brief description of the purpose and nature of the transaction: _____

3. Date transaction made or entered into: _____
4. Other pertinent details: _____

(Attach sheet for each additional official, employee, or staff member.)

(If none, check here ☐)

Any Employer of an Executive Agency Lobbyist who is required to disclose a financial transaction described in Section D shall deliver a copy of the financial transaction statement to the person identified in Section D above, at least ten (10) days before this statement is filed. If a dispute arises, the disputed financial transaction does not have to be reported until a final decision by the Commission.

E. REGISTRATION FEE

Each employer of one or more executive agency lobbyists shall pay a registration fee of \$125.00 with the filing of the Updated Registration Statement for this reporting period pursuant to KRS 11A. 211(5). Failure to submit the \$125 registration fee will constitute a deficiency in the filing of an updated registration statement and will subject you to penalties outlined in KRS 11A.990(5).

CERTIFICATION: I certify that the information contained in the registration statement is complete and accurate.

BY: _____
Signature of Employer Contact *Date*

Type or print name and title of person signing for Employer

UPDATED REGISTRATION STATEMENT

REAL PARTY IN INTEREST

INSTRUCTIONS

Please complete all sections and all items of the Updated Registration Statement. **Do not leave blanks**; write "none" or check the box "If none, check here", where applicable. If additional space is needed for any item, attach an additional sheet, identifying the section and item number to which the attachment relates. If you have marked "amended," you need only fill in the amended information and identify the year for the amended report.

Refer to KRS 11A.211, 11A.216, and 11A.221 as to what information is sought in each section of this combined statement. In addition, certain items are explained below

A. GENERAL INFORMATION

Item 1: Provide full name of the real party in interest engaging the executive agency lobbyist(s) as it appears on the Initial Registration Statement.

Item 3: Indicate whether this is a regular update statement or an amended statement, i.e., a statement which is being filed after a statement had been previously filed for the same reporting period. An amended statement should be filed if a correction is requested or needs to be made, e.g., a change in Total Expenditure amount in which you later discovered an error; change in address; or filing of an expenditure amount previously withheld from the original statement due to a dispute. If an amended statement is being filed, indicate which reporting year the statement is amending and complete only those sections which are being changed by the amended filing. **A \$125 registration fee is required of all real parties in interest when filing the updated registration statement each year regardless of the type of report being filed.**

Item 4: Provide the full name of ALL executive agency lobbyists who represented the real party in interest during the reporting period, including those executive agency lobbyists who are no longer engaged by the real party in interest, but were engaged by the real party in interest during the reporting period. Fill in the EAL registration number(s) of each, if known. **DO NOT LEAVE BLANK.**

Item 5: If the engagement of an executive agency lobbyist was terminated, and/ or a new executive agency lobbyist was engaged, during the reporting period, state the name(s) of the individual(s) and the applicable dates.

B. EXECUTIVE AGENCY DECISIONS

List ALL specific executive agency decisions for which executive agency lobbyists were engaged by the real party in interest to influence, during the reporting period. An example of an executive agency decision to be listed is "contract for purchase of (commodity) by Kentucky Department of _____." List the contract or purchase order number, if known.

C. REAL PARTY IN INTEREST EXPENDITURES STATEMENT

Report ALL expenditures made by the real party in interest, which are (1) not being reported by an executive agency lobbyist or an employer engaged by the real party in interest, and (2) were made to, or for the benefit of, an elected executive official, any secretary of a Cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of any of those officials. List the name of the official or employee for whom the expenditure was made; type of expenditure; description of meeting, event, or occasion for which the expenditure was made; when the expenditure occurred; and the amount of the expenditure.

Examples of expenditures to be reported include the cost of a reception for, or entertainment of, any of the state officials listed above. You do not need to report expenditures for office facilities, support services, or salary of the executive agency lobbyist.

Any expenditure reported requires the naming of an official or employee, and requires that you deliver a copy of the applicable section(s) of the expenditure statement to the identified official or employee at least ten (10) days before this statement is to be filed with the Commission.

See KRS 11A.226 for the procedure to be followed relative to any dispute that may arise concerning a reported expenditure.

D. FINANCIAL TRANSACTIONS INVOLVING REAL PARTY IN INTEREST OF EXECUTIVE AGENCY LOBBYIST

If the real party in interest, or a member of real party in interest's immediate family, had, during the reporting period, a financial transaction with, or for the benefit of, an official or employee so listed, state the name of the official or employee, the purpose and nature of the transaction, the date such transaction was made or entered into, and any other pertinent details.

A financial transaction is a transaction or activity that is conducted or undertaken for profit and arises from the joint ownership, or the ownership, or part ownership in common of any real or personal property or any commercial or business enterprise of any form or nature between:

1. An executive agency lobbyist, his employer, a real party in interest or a member of the immediate family of an executive agency lobbyist, his employer, or a real party in interest, AND
2. Any executive agency employee (including elected and appointed officials) UNLESS such transaction is available to the general public on the same terms.

The reporting of any financial transaction requires the naming of an official or employee, and requires that you deliver a copy of the financial transaction statement to the identified official or employee at least ten (10) days before the statement is to be filed with the Executive Branch Ethics Commission.

See KRS 11A.226 for the procedure to be followed relative to any dispute that may arise concerning a reported financial transaction.

E. REGISTRATION FEE

Each real party in interest of one or more executive agency lobbyists is required to pay a registration fee of \$125.00 with the filing of the *Updated Registration Statement, Real Party in Interest* whether the real party in interest is submitting a regular or final report. KRS 11A. 211(5). Payment may be made by check or money order payable to the “**KENTUCKY STATE TREASURER**”. For accuracy in recording, it is preferred that payment accompany the filing of the updated registration statement. Failure to submit the \$125 registration fee will constitute a deficiency in the filing of an updated registration statement and will subject the real party in interest to penalties outlined in KRS 11A.990(5).

CERTIFICATION:

This section requires the **original signature** of the person signing for the real party in interest and the date on which the statement was signed. The signing of the statement attests to the completeness and accuracy of the combined statement, according to the best knowledge of the real party in interest. You may complete the statement electronically by accessing the form from the Commission’s internet website; however, the form must be printed, signed and mailed to the address below. The law requires an “original” signature on all forms. Completed and signed statements and registration fees are due **ON OR BEFORE July 31**.

If you have questions, contact:

Executive Branch Ethics Commission
Vest-Lindsey House
401 Wapping Street
Frankfort, Kentucky 40601
(502) 564-7954
FAX (502) 564-2686

UPDATED REGISTRATION STATEMENT *REAL PARTY IN INTEREST*

Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION
Vest-Lindsey House, 401 Wapping Street
Frankfort, Kentucky 40601
(502) 564-7954 FAX (502) 564-2686

*This statement and a \$125 registration fee must be filed with the Executive Branch Ethics Commission by the last day of July. Please read instructions and review KRS 11A.211, 11A.216, and 11A.221 prior to filing. Upon termination of this engagement, there is an affirmative duty to notify the Executive Branch Ethics Commission within thirty (30) days. **ANY PERSON WHO KNOWINGLY FILES A FALSE STATEMENT IS IN VIOLATION OF STATE LAW AND SUBJECT TO FINES AND OTHER PENALTIES.***

A. GENERAL INFORMATION

1. Full Name of Real Party in Interest: _____

2. Based on your Initial Registration Statement or last Updated Registration Statement, state any changes in:

Real Party in Interest Name: _____

Real Party in Interest Business Address, Telephone, E-mail, Contact:

<i>Street</i>		<i>Suite #</i>
<i>City</i>	<i>State</i>	<i>Zip</i>
<i>Telephone</i>	<i>E-mail</i>	<i>Contact</i>

3. Type of Report:

☐ Regular Update Report for the period July 1 - June 30, 20 _____ (due July 31)

☐ Amended Statement for the period: _____

☐ Final Update Statement for the period July 1 – TERMINATION.

4. Provide the full name of all Executive Agency Lobbyists who were registered to act on behalf of the Real Party in Interest during this reporting period: **DO NOT LEAVE BLANK.**

Name of Executive Agency Lobbyist	Lobbyist Registration #

(Attach additional sheet if necessary)

5. If the Real Party in interest terminated the engagement of any Executive Agency Lobbyist or engaged a new Executive Agency Lobbyist at any time during this reporting period, state the name of the Executive Agency Lobbyist and the date on which the termination or engagement occurred:

Name of Executive Agency Lobbyist	Termination Date	Engagement Date	Registration # (if known)

B. EXECUTIVE AGENCY DECISIONS

1. List the specific executive agency decisions which Executive Agency Lobbyists engaged by the Real Party in Interest sought to influence, during this reporting period:

C. REAL PARTY IN INTEREST EXPENDITURES STATEMENT

During this reporting period, if the Real Party in Interest made expenditures to, or for the benefit of, an elected executive official, any Secretary of a Cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of any of these officials who works for a state agency for which the Real Party in Interest is registered to influence, and such expenditures were not reported by an Executive Agency Lobbyist or Employer, provide the following information regarding such expenditures:

Name of Official, Employee or Staff Member of Official	Describe type of Expenditure (Transportation, Lodging, or Meals, etc.) and provide a description of each Meeting, Event or Occasion to which the Expenditure pertains.	Date of Expenditure	Amount of Expenditure
			\$
			\$
			\$
			\$
		TOTAL	\$

(If none, check here [])

Any Real Party in Interest employing an Executive Agency Lobbyist who is required to complete Section C shall deliver a copy of the expenditure statement, or that portion showing the expenditure to the person identified as receiving the benefit of the expenditure, at least ten (10) days before this statement is filed. If a dispute arises, the disputed expenditure does not have to be reported until a final decision by the Commission.

D. FINANCIAL TRANSACTIONS INVOLVING REAL PARTY IN INTEREST

If the Real Party in Interest, or a member of the Real Party in Interest's immediate family, had, during the reporting period, a financial transaction with, or for the benefit of, an elected executive official, the Secretary of a Cabinet listed in KRS 12.250, an executive agency official, or any member of the staff of any of the officials above, and such financial transaction is not reported by an Executive Agency Lobbyist or Employer, provide the following information regarding such financial transaction:

1. Name of official, employee or staff member: _____
2. Brief description of the purpose and nature of the transaction:

3. Date transaction made or entered into: _____
4. Other pertinent details: _____

(Attach sheet for each additional official, employee, or staff member.)

(If none, check here [])

Any Real Party in Interest who is required to disclose a financial transaction described in Section D shall deliver a copy of the financial transaction statement to the person identified in Section D above, at least ten (10) days before this statement is filed. If a dispute arises, the disputed financial transaction does not have to be reported until a final decision by the Commission.

E. REGISTRATION FEE

Each Real Party in Interest shall pay a registration fee of \$125.00 with the filing of the Updated Registration Statement for this reporting period pursuant to KRS 11A.211(5). Failure to submit the \$125 registration fee will constitute a deficiency in the filing of an updated registration statement and will subject you to penalties outlined in KRS 11A.990(5).

CERTIFICATION: I certify that the information contained in the registration statement is complete and accurate.

BY:

Signature of Real Party in Interest Contact

Date

Type or print name and title of person signing for Real Party in Interest

UPDATED REGISTRATION STATEMENT EXECUTIVE AGENCY LOBBYIST/ EMPLOYER **“COMBINED”**

Only the lobbyists and employers who meet **all** of the following requirements may complete the “**COMBINED**” form:

1. There is only **one** executive agency lobbyist registered to represent the employer.
2. There is only **one** employer registered for the same lobbyist.
3. The lobbyist that is registered is also listed as the employer contact for the employer.
4. Both the employer and the lobbyist have no expenditures or financial transactions to report.

Executive Agency Lobbyists and Employers of Executive Agency Lobbyists who complete this form are not required to file separate Updated Registration Statements. The employer is required to pay the \$125 registration fee even if the employer qualifies to complete the “**COMBINED**” form.

INSTRUCTIONS

Please complete all sections and all items of the Updated Registration Statement. **Do not leave blanks;** write "none" or check the box "If none, check here" where applicable. If additional space is needed for any item, attach an additional sheet, identifying the section and item number to which the attachment relates. If you have marked "amended," you need only fill in the amended information.

A. GENERAL INFORMATION

Item 1: Provide your full name as it appears on your Initial Registration Statement; your executive agency lobbyist number as found on your Executive Agency Lobbyist Registration Card; and the name of your employer.

Item 2: Indicate any changes in the lobbyist's/ employer's name, mailing address, and other contact information.

Item 3: Indicate whether this is a regular, final, or amended updated statement, i.e. a statement which is being filed after a statement had been previously filed for the same reporting period. An amended statement should be filed if a correction is requested or needs to be made, e.g. a change in Total Expenditure amount in which you later discovered an error; change in address; or filing of an expenditure amount previously withheld from the original statement due to a dispute. If an amended statement is being filed, indicate which reporting year the statement is amending, and complete only those sections which are being changed by the amended filing. **A \$125 registration fee is required of all employers when filing the updated registration statement each year regardless of the type of report being filed.**

Item 4: If you have terminated your registration with the employer listed on the form, check “No” and indicate the date the registration was terminated.

B. EXECUTIVE AGENCY DECISIONS

Item 1: List the specific executive agency decisions which you attempted to influence, on behalf of the employer, during the reporting period and the specific agencies contacted. An example of an executive agency decision to be listed is "contract for purchase of (commodity) by Kentucky Department of_____." List contract or purchase order, if known.

Item 2: Since your Initial Registration Statement or most recent Updated Registration Statement, describe any additional types of executive agency decisions which relate to your engagement. For example, if your initial registration stated that you will be attempting to influence executive agency decisions relative to "Contracts for Data Processing Services," and now you will also be attempting to influence "Contracts for Purchase of Computer Hardware," write in the latter.

C. REGISTRATION FEE

Each employer of one or more executive agency lobbyists is required to pay a registration fee of \$125.00 with the filing of the *Updated Registration Statement, Executive Agency Lobbyist/Employer “COMBINED”* whether the employer is submitting a regular or final report. KRS 11A. 211(5). Payment may be made by check or money order payable to the “**KENTUCKY STATE TREASURER**”. For accuracy in recording, it is preferred that payment accompany the filing of the updated registration statement. Failure to submit the \$125 registration fee will constitute a deficiency in the filing of an updated registration statement and will subject the employer to penalties outlined in KRS 11A.990(5).

CERTIFICATION:

This section requires the **original signature** of the executive agency lobbyist and the date on which the statement was signed. The signing of the statement attests to the completeness and accuracy of the combined statement, according to the best knowledge of the executive agency lobbyist and the respective employer. You may complete the statement electronically by accessing the form from the Commission’s internet website; however, the form must be printed, signed and mailed to the address below. The law requires an “original” signature on all forms. Completed and signed statements and registration fees are due **ON OR BEFORE** July 31.

If you have questions, contact:

Executive Branch Ethics Commission
Vest-Lindsey House
401 Wapping Street
Frankfort, Kentucky 40601
(502) 564-7954
FAX (502) 564-2686

(Est. 1/2007)

UPDATED REGISTRATION STATEMENT EXECUTIVE AGENCY LOBBYIST/EMPLOYER “COMBINED”

Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION
Vest-Lindsey House, 401 Wapping Street
Frankfort, Kentucky 40601
(502) 564-7954 FAX (502) 564-2686

*This statement and a \$125 registration fee must be filed with the Executive Branch Ethics Commission by the last day of July. Please read instructions and review KRS 11A.211, 11A.216, and 11A.221 prior to filing. Upon termination of this engagement, there is an affirmative duty to notify the Executive Branch Ethics Commission within thirty (30) days. **ANY PERSON WHO KNOWINGLY FILES A FALSE STATEMENT IS IN VIOLATION OF STATE LAW AND SUBJECT TO FINES AND OTHER PENALTIES.***

Attention: Only those who meet all of the following requirements may complete this form:

1. There is only **one** executive agency lobbyist registered to represent the employer.
2. There is only **one** employer registered for the same lobbyist.
3. The lobbyist that is registered is also listed as the employer contact for the employer.
4. Both the employer and the lobbyist have no expenditures or financial transactions to report.

Executive Agency Lobbyists and Employers of Executive Agency Lobbyists who complete this form are not required to file separate *Updated Registration Statements*.

A. GENERAL INFORMATION

1. Name of Executive Agency Lobbyist _____
Executive Agency Lobbyist Registration Number _____
Name of Employer _____

2. Based on your Initial Registration Statement or last Updated Registration Statement, state any changes in:

Lobbyist Name _____
Lobbyist Mailing Address _____
Lobbyist Phone Number _____ E Mail Address _____
Employer Name _____
Employer Mailing Address _____
Employer Phone Number _____ E Mail Address _____

3. Type of Report:

- ☐ Regular Update Report for the period July 1 – June 30, 20 _____. (due July 31)
- ☐ Amended Statement for the period of: _____
- ☐ Final Update Statement for the period July 1 – TERMINATION.

4. Termination: Do you continue to represent the Employer listed on this form as an executive agency lobbyist?

☐ YES

☐ NO

If no, please list the date you terminated your registration_____.

B. EXECUTIVE AGENCY DECISIONS

1. List the specific agency decisions you sought to influence for this Employer during this reporting period. Attach an additional sheet if necessary.

2. Since your Initial Registration Statement or last Updated Registration, describe any additional types of executive agency decisions to which this engagement relates.

3. State any additions to or deletions from the list of elected executive officials, departments or agencies for which you will be influencing agency decisions for this named employer.

(If no changes, check here ☐)

C. REGISTRATION FEE

Each employer of one or more executive agency lobbyists shall pay a registration fee of \$125.00 with the filing of the Updated Registration Statement for this reporting period pursuant to KRS 11A.211(5). Failure to submit the \$125 registration fee will constitute a deficiency in the filing of an updated registration statement and will subject you to penalties outlined in KRS 11A.990(5)

CERTIFICATION: I certify that the information contained in the registration statement is complete and accurate and that neither the lobbyist nor the employer have any expenditures or financial transactions for the reporting period listed on the face of this form.

Signature of Executive Agency Lobbyist/Employer Contact

Date

REVIEW OF STATEMENTS AND DISPUTED INFORMATION

REVIEW OF STATEMENTS

Both the Initial Registration Statement and Updated Registration Statements are reviewed by the Executive Branch Ethics Commission for completeness.

Failure to Register or File an Updated Registration Statement

If it is determined that an executive agency lobbyist, employer, or real party in interest has failed to file either an Initial Registration Statement or an Updated Registration Statement or that the filed statement is not complete, the Executive Branch Ethics Commission will send written notification by certified mail to the person or entity who failed to file the Statement regarding such failure. Any person or entity so notified shall, within 15 days after receiving the notice, file a Registration Statement or an amended Registration Statement that includes all required information. Failure to file the requested Statement within the 15 days may result in an investigation of the matter. If an investigation is initiated, the Executive Branch Ethics Commission will also notify each elected official and cabinet secretary.

Penalties

Any executive agency lobbyist, employer, or real party in interest who fails to file the initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216, or who fails to remedy a deficiency in any filing in a timely manner, may be fined by the commission an amount not to exceed one hundred dollars (\$100) per day, up to a maximum total fine of one thousand dollars (\$1,000). Failure to submit the \$125 registration fee will constitute a deficiency in the filing of an updated registration statement for employers and real parties in interest.

An executive agency lobbyist, employer or real party in interest who knowingly fails to register, knowingly fails to keep a receipt or maintain required records or knowingly fails to file an expenditure statement shall for the first violation be subject to a civil penalty not to exceed \$5,000. For each subsequent violation, he shall be guilty of a Class D felony, and upon conviction is subject to incarceration of not less than one year or more than five years.

Any executive agency lobbyist, employer, or real party in interest who intentionally fails to register, or who intentionally files an initial registration statement or updated registration statement required by KRS 11A.211 or 11A.216 which he knows to contain false information or to omit required information shall be guilty of a Class D felony. An executive agency lobbyist, employer, or real party in interest who files a false statement of expenditures or details of a financial transaction under KRS 11A.221 or 11A.226 is liable in a civil action to any official or employee who sustains damage as a result of the filing or publication of the statement.

Contingent Fees

No person shall engage any person to influence executive agency decisions or conduct executive agency lobbying activity for compensation that is contingent in any way on the outcome of an executive agency decision. No person shall accept any engagement to influence executive agency decisions or conduct executive agency lobbying activity for compensation that is contingent in any way on the outcome of an executive agency decision, except for certain sales commissions. Violation is a Class D felony.

DISPUTED INFORMATION

If a dispute arises between an elected executive official, the secretary of a cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of those officials and a real party in interest, an employer or an executive agency lobbyist with respect to an expenditure or financial transaction alleged in any statement to be filed under KRS 11A.216 or 11A.221, the official, employee, real party in interest, employer, or executive agency lobbyist may file a complaint with the Executive Branch Ethics Commission. The Commission shall investigate the complaint.

The complaint shall be filed at least three days prior to the time the statement is required to be filed with the Executive Branch Ethics Commission. The time for filing a disputed expenditure or financial transaction on any statement of expenditures or the details of a financial transaction shall be extended pending the final decision of the Commission. This extension does not extend the time for filing the non-disputed portions of an expenditure statement or of the details of a financial transaction. The Commission shall notify the parties of its final decision by certified mail. If the Commission decides that the disputed expenditure or financial transaction should be reported, the employer, real party in interest, or executive agency lobbyist shall include the matter in an amended statement and file the amended statement no later than ten days after receiving notice of the decision of the Commission by certified mail.

TERMINATION OF ENGAGEMENT

An executive agency lobbyist is required to notify the office of the Executive Branch Ethics Commission within 30 days after the termination of an engagement. Such notification is made using the *Termination Notification Form*. The form should be completed, signed and attached to the executive agency lobbyist's final Updated Registration Statement.

If the engagement exists for even one day into a reporting period, the executive agency lobbyist, employer, and the real party in interest must file an Updated Registration Statement for that period. The executive agency lobbyist, employer, and real party in interest may file their respective Updated Registration Statements at the time of termination if the executive agency lobbyist has only one employer and real party in interest, or the employer and real party in interest have only one executive agency lobbyist. Otherwise, the executive agency lobbyist, employer, and real party in interest may wait until the end of the reporting period to report terminations.

When all lobbyists engaged by an employer or real party in interest terminate their registrations with the Commission, then the employer/real party in interest has effectively terminated their registration with the Commission as well. **However, the employer/real party in interest must file a final Updated Registration Statement with the Commission and pay the \$125 registration fee for the final reporting period.**

Commonwealth of Kentucky
EXECUTIVE BRANCH ETHICS COMMISSION

**TERMINATION NOTIFICATION
AS
EXECUTIVE AGENCY LOBBYIST**

**ANY PERSON WHO KNOWINGLY FILES A FALSE STATEMENT IS IN VIOLATION OF STATE LAW
AND SUBJECT TO FINES AND OTHER PENALTIES.**

Executive Agency Lobbyist Number: _____

I, _____, wish to inform you that I am no
(Typed name)

longer engaged to represent the employer and/or real party in interest named below, effective _____.
(Date)

Name of Employer: _____

Address: _____
Street City State Zip Code

Name of Real Party In Interest (if applicable) _____

Address: _____
Street City State Zip Code

Executive Agency Lobbyist Permanent Address:

Street City State Zip Code

Signature of Executive Agency Lobbyist

Date

Please Send Completed Form To:

Executive Branch Ethics Commission
Vest-Lindsey House
401 Wapping Street
Frankfort, Kentucky 40601

REMEMBER: You must file a final Updated Registration Statement with the Termination Notification to report your activity from July 1 through your date of termination.

SERVICES OFFERED

There are numerous services offered by the Executive Branch Ethics Commission for the benefit of executive agency lobbyists, their employers and for the public as a whole. Below is a list of the services and materials available from the Commission.

1. An alphabetical listing of all executive agency lobbyists, and employers or real parties in interest of executive agency lobbyists, is available on or before August 31 of each year. There are two lists available; one listed alphabetically by executive agency lobbyist, the other listed alphabetically by employer or real party in interest. The cost of each list is \$2.50 plus postage, if any.

2. In its biennial report, the Executive Branch Ethics Commission includes statistical information regarding the Updated Registration Statements filed by executive agency lobbyists, employers, and real parties in interest during the preceding year.

3. Copies of Advisory Opinions released by the Executive Branch Ethics Commission regarding Kentucky's executive agency lobbying laws are available by subscription as loose leaf copies for the current year. If you would like to be added to the subscription list, please contact the Executive Branch Ethics Commission staff. Bound copies of previous years are available for a small charge.

4. The Executive Branch Ethics Commission maintains a website at <http://ethics.ky.gov/>. The website contains information regarding all aspects of Executive Agency Lobbying including forms, current registrations and much of the information found in this handbook. Electronic versions of all lobbying forms are available to complete online; however, all forms must be printed, signed, and submitted to the Executive Branch Ethics Commission.

Requests for material may be made in writing or by calling the Executive Branch Ethics Commission at 502-564-7954.

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